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| FORM PTO-1449 (Modified) | | | | | | | | | ATTY. DOCKET NO. 24601-416C | SERIAL NO. 10/086,745 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | | | | | | | | | APPLICANT De Jong et al. | #1 |
| | | | | | | | | | FILING DATE February 28, 2002 | GROUP 1636 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | Ref. No. | DOCUMENT NUMBER | | | | | | | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
|---------------------|-------------|-----------------|---|---|---|---|---|---|----------|----------------------|-------|--------------|----------------|
| • DJ | A | 4 | 8 | 9 | 7 | 3 | 5 | 5 | 01/30/90 | Eppstein et al. | 435 | 240.2 | 10/29/87 |
| • DJ | B | 4 | 9 | 3 | 7 | 1 | 9 | 0 | 06/26/90 | Palmenberg et al. | 435 | 69.1 | 10/15/87 |
| • DJ | C | 5 | 2 | 0 | 8 | 0 | 6 | 6 | 05/04/93 | Fujisaki et al. | 427 | 96 | 04/30/92 |
| • DJ | D | 5 | 2 | 8 | 8 | 6 | 2 | 5 | 02/22/94 | Hadlaczy | 435 | 172.2 | 09/13/91 |
| • DJ | E | 5 | 3 | 1 | 8 | 5 | 1 | 5 | 06/07/94 | Wilk | 604 | 30 | 08/17/92 |
| • DJ | F | 5 | 3 | 3 | 4 | 7 | 6 | 1 | 08/02/94 | Gebeyehu et al. | 564 | 197 | 08/28/92 |
| • DJ | G | 5 | 3 | 8 | 9 | 0 | 6 | 9 | 02/14/95 | Weaver | 604 | 21 | 09/17/93 |
| • DJ | H | 5 | 5 | 0 | 1 | 6 | 6 | 2 | 03/26/96 | Hofmann | 604 | 20 | 09/12/94 |
| • DJ | I | 5 | 5 | 0 | 7 | 7 | 2 | 4 | 04/16/96 | Hofmann et al. | 604 | 53 | 01/21/94 |
| • DJ | J | 5 | 5 | 5 | 0 | 2 | 8 | 9 | 08/27/96 | Eppstein et al. | 564 | 293 | 04/03/95 |
| • DJ | K | 5 | 6 | 7 | 6 | 1 | 5 | 1 | 10/14/97 | Yock | 128 | 662.06 | 12/03/93 |
| • DJ | L | 5 | 6 | 9 | 5 | 9 | 6 | 7 | 12/09/97 | Van Bokkelen et al. | 435 | 91.1 | 06/07/95 |
| • DJ | M | 5 | 7 | 1 | 2 | 1 | 3 | 4 | 01/27/98 | Hadlaczy | 435 | 172.2 | 01/19/95 |
| • DJ | N | 5 | 7 | 2 | 1 | 1 | 1 | 8 | 02/24/98 | Scheffler | 435 | 69.1 | 10/29/96 |
| • DJ | O | 5 | 7 | 3 | 6 | 3 | 9 | 2 | 04/07/98 | Hawley-Nelson et al. | 435 | 320.1 | 06/04/96 |
| • DJ | P | 5 | 7 | 4 | 7 | 0 | 7 | 2 | 05/05/98 | Davidson et al. | 424 | 93.2 | 04/14/95 |
| • DJ | Q | 5 | 8 | 3 | 0 | 4 | 3 | 0 | 11/03/98 | Unger et al. | 424 | 121 | 02/21/95 |
| • DJ | R | 5 | 8 | 4 | 3 | 8 | 8 | 4 | 12/01/98 | Sims | 514 | 2 | 11/15/95 |
| • DJ | S | 5 | 8 | 5 | 3 | 6 | 9 | 4 | 12/29/98 | Engberts et al. | 424 | 1.2 | 07/24/96 |
| • DJ | T | 5 | 8 | 6 | 9 | 2 | 9 | 4 | 02/09/99 | Harrington et al. | 435 | 91.1 | 09/20/96 |
| • DJ | U | 5 | 8 | 9 | 1 | 6 | 9 | 1 | 04/06/99 | Hadlaczy | 435 | 172.3 | 10/21/96 |
| • DJ | V | 5 | 9 | 4 | 4 | 7 | 1 | 0 | 08/31/99 | Dev et al. | 604 | 500 | 06/24/96 |
| • DJ | W | 5 | 9 | 6 | 2 | 2 | 6 | 5 | 10/05/99 | Norris et al. | 435 | 69.1 | 12/15/98 |

EXAMINER David Jamberton DATE CONSIDERED 1/20/04

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Title: METHODS FOR DELIVERING NUCLEIC ACID MOLECULES INTO CELLS AND ASSESSMENT THEREOF

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U.S. PATENT DOCUMENTS

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|------------------|----------|-----------------|---|---|---|---|---|---|----------|-----------------------------|------|-------|-----------|-------------|
| • D | X | 5 | 9 | 6 | 5 | 3 | 9 | 6 | 10/12/99 | Pan <i>et al.</i> | 435 | 69.1 | 01/13/98 | |
| • D | Y | 5 | 9 | 7 | 6 | 7 | 9 | 6 | 11/02/99 | Szalay <i>et al.</i> | 435 | 6 | 12/23/96 | |
| • D | Z | 5 | 9 | 7 | 6 | 8 | 4 | 9 | 11/02/99 | Hustad <i>et al.</i> | 435 | 183 | 04/30/98 | |
| • D | AA | 5 | 9 | 8 | 5 | 5 | 7 | 7 | 11/16/99 | Bulinski | 435 | 6 | 10/14/98 | |
| • D | AB | 5 | 9 | 9 | 3 | 4 | 3 | 4 | 11/30/99 | Dev <i>et al.</i> | 604 | 601 | 09/29/95 | |
| • D | AC | 6 | 0 | 2 | 5 | 1 | 5 | 5 | 02/15/00 | Hadlaczky <i>et al.</i> | 435 | 69.1 | 08/07/96 | |
| • D | AD | 6 | 0 | 2 | 7 | 4 | 8 | 8 | 02/22/00 | Hofmann <i>et al.</i> | 604 | 522 | 06/03/98 | |
| • D | AE | 6 | 0 | 3 | 4 | 2 | 2 | 8 | 03/07/00 | Norris <i>et al.</i> | 636 | 23.1 | 06/25/99 | |
| • D | AF | 6 | 0 | 3 | 7 | 1 | 3 | 3 | 03/14/00 | Li | 435 | 7.21 | 04/17/98 | |
| • D | AG | 6 | 0 | 5 | 1 | 4 | 2 | 9 | 04/18/00 | Hawley-Nelson <i>et al.</i> | 435 | 458 | 03/14/97 | |
| • D | AH | 6 | 0 | 5 | 4 | 3 | 1 | 2 | 04/25/00 | Larocca <i>et al.</i> | 435 | 320.1 | 08/29/97 | |
| • D | AI | 6 | 0 | 7 | 4 | 6 | 6 | 7 | 06/13/00 | Kinnunen <i>et al.</i> | 424 | 450 | 05/21/98 | |
| • D | AJ | 6 | 0 | 7 | 7 | 6 | 9 | 7 | 06/20/00 | Hadlaczky <i>et al.</i> | 435 | 172.3 | 07/15/96 | |
| • D | AK | 6 | 1 | 8 | 4 | 0 | 3 | 7 | 02/06/01 | Rolland <i>et al.</i> | 435 | 455 | 05/02/97 | |

FOREIGN PATENT DOCUMENTS

| | *Ref No. | DOCUMENT NUMBER | | | | | | | | DATE | COUNTRY | CLASS | SUB CLASS | Translation Yes | No |
|-----|----------|-----------------|---|---|---|---|---|---|----------|-------|---------|-------|-----------|-----------------|----|
| • D | AL | 0 | 0 | 2 | 7 | 7 | 9 | 5 | 05/18/00 | PCT | | | | | |
| • D | AM | 0 | 0 | 5 | 2 | 1 | 8 | 6 | 09/08/00 | PCT | | | | | |
| • D | AN | 0 | 7 | 5 | 5 | 9 | 2 | 4 | 01/29/97 | EP A1 | | | | | |
| • D | AO | 0 | 7 | 5 | 5 | 9 | 2 | 4 | 06/09/99 | EP B1 | | | | | |
| • D | AP | 9 | 7 | 4 | 0 | 1 | 8 | 3 | 10/30/97 | PCT | | | | | |
| • D | AQ | 9 | 8 | 0 | 8 | 9 | 6 | 4 | 03/05/98 | PCT | | | | | |
| • D | AR | 9 | 9 | 2 | 1 | 5 | 8 | 4 | 05/06/99 | PCT | | | | | |

EXAMINER David Farnham DATE CONSIDERED 1/20/04

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | | |
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| AS | 1999 Press Releases: "Chromos Molecular Systems Demonstrates Large-Scale Isolation of Mammalian Artificial Chromosomes" http://www.chromos.com/feb309.htm1 | | |
| AT | 1999 Press Releases: "Chromos Molecular Systems Reports <i>In Vitro</i> and <i>In Vivo</i> Stability of Functional Mammalian Artificial Chromosome"; http://www.chromos.com/march1999.htm1 | | |
| AU | 2001 Press Releases: "Chromos Presents New Chromosome-Based Platform Technology for Gene Therapy (ASGT)" http://www.chromos.com/June%204.htm1 | | |
| AV | 2001 Press Releases: "Chromos Announces Publication of Rapid Screening Technique in the Journal Cytometry" http://www.chromos.com/June%207.htm1 | | |
| AW | 2001 Press Releases: "Chromos Initiates Research into Plant Artificial Chromosomes"; http://www.chromos.com/Jan23.htm1 | | |
| AX | 2001 Press Releases: "Chromos Announces Expression of Therapeutic Protein in Transgenic Animal Carrying an Artificial Chromosome"; http://www.chromos.com/nov8.htm1 | | |
| AY | 2001 Press Releases: "Chromos Reports Data on Transgenic Animals Carrying Artificial Chromosome" http://www.chromos.com/march28.htm1 | | |
| AZ | 2001 Press Releases: "Chromos and Biological Research Center Announce Publication of Human Artificial Chromosome Methodology in the Journal of Cell Science"; http://www.chromos.com/sept12.htm1 | | |
| BA | 2002 Press Release: "Chromos Announces Agreement With Lonza Biologics PLC. ACE System to be Evaluated by Leading Contract Protein Manufacturer" Burnaby, BC, Canada. http://www.chromos.com/june10.htm1 (09/12/02) | | |
| BB | 2002 Press Release: "Chromos Reports Progress in Gene Delivery To Adult Derived Stem Cells" Burnaby, BC, Canada. http://www.chromos.com/june6.htm1 (09/12/02) | | |
| BC | 2002 Press Release: "Chromos Enters Collaboration Agreement with Morphogen Pharmaceuticals" Burnaby, BC, Canada. http://www.chromos.com/april24.htm1 (09/12/02) | | |
| BD | Alton <i>et al.</i> , "Nucleotide sequence analysis of the chloramphenicol resistance transposon Tn9", <i>Nature</i> , 282:864-869 (1979) | | |
| BE | Alvaro-Gracia <i>et al.</i> , "Cytokines in Chronic Inflammatory Arthritis. V. Mutual Antagonism between Interferon-Gamma and Tumor Necrosis Factor-Alpha on HLA-DR Expression, Proliferation, Collagenase Production, and Granulocyte Macrophage Colony-stimulating Factor Production by Rheumatoid Arthritis Synoviocytes", 86:1790-1798 (1990) | | |

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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
|-----------|----|---|
| <i>DJ</i> | BF | Anderson <i>et al.</i> , "Flow Cytometry of Mitotic Cells", <i>Experimental Cell Res.</i> , <u>238</u> :498-502 (1998) |
| <i>DJ</i> | BG | ATCC (American Type Culture Collection) Number CCL-39 |
| <i>DJ</i> | BH | ATCC (American Type Culture Collection) Number CCL-1.3 |
| <i>DJ</i> | BI | ATCC (American Type Culture Collection) Number CCL-110 |
| <i>DJ</i> | BJ | ATCC (American Type Culture Collection) Number CRL-1573 |
| <i>DJ</i> | BK | ATCC (American Type Culture Collection) Number CCL-1.4 |
| <i>DJ</i> | BL | ATCC (American Type Culture Collection) Number CRL-2056 |
| <i>DJ</i> | BM | ATCC (American Type Culture Collection) Number CRL-1769 |
| <i>DJ</i> | BN | Audouy <i>et al.</i> , "Serum as a modulator of lipoplex-mediated gene transfection: dependence of amphiphile, cell type and complex stability", <i>J. Gene Med.</i> , <u>2</u> :465-476 (2000) |
| <i>DJ</i> | BO | Audouy and Hoekstra, "Cationic lipid-mediated transfection <i>in vitro</i> and <i>in vivo</i> (Review)", <i>Molecular Membrane Biology</i> , <u>18</u> :129-143 (2001) |
| <i>DJ</i> | BP | Aupperle <i>et al.</i> , "NF- κ B Regulation by I κ B Kinase in Primary Fibroblast-Like Synoviocytes", <i>The Journal of Immunology</i> , <u>163</u> :427-433 (1999) |
| <i>DJ</i> | BQ | Baldwin <i>et al.</i> , "Cloning of the Luciferase Structural Genes from <i>Vibrio harveyi</i> and Expression of Bioluminescence in <i>Escherichia coli</i> ", <i>Biochem.</i> , <u>23</u> :3663-3667 (1984) |
| <i>DJ</i> | BR | Bao <i>et al.</i> , "Transfection Of A Reporter Plasmid Into Cultured Cells By Sonoporation <i>In Vitro</i> ", <i>Ultrasound in Med. & Biol.</i> , <u>23</u> /6:953-959 (1997) |
| <i>DJ</i> | BS | Basic Protocol, Book: <i>Current Protocols in Molecular Biology</i> , Supplement 14, "Calcium Phosphate Transfection", Section 1, Unit 9.1.1 - 9.1.9 (1990) |
| <i>DJ</i> | BT | Bendele <i>et al.</i> , "Efficacy of Sustained Blood Levels of Interleukin-1 Receptor Antagonist in Animal Models of Arthritis", <i>Arthritis and Rheumatism</i> , <u>42</u> (3):498-506 (1999) |
| <i>DJ</i> | BU | Caldwell <i>et al.</i> "Activation of Genes with Ultrasound," <i>Ultrasound Contrast Research Symposium</i> San Diego, CA February 6-8, 1998 |
| <i>DJ</i> | BV | Co <i>et al.</i> , "Generation of transgenic mice and germline transmission of a mammalian artificial chromosome introduced into embryos by pronuclear microinjection", <i>Chromosome Res.</i> , <u>8</u> :183-191 (2000) |

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| DJ | BW | Corrigall <i>et al.</i> , "Functional IL-2 Receptor β (CD122) and γ (CD132) Chains Are Expressed by Fibroblast-Like Synoviocytes: Activation by IL-2 Stimulates Monocyte Chemoattractant Protein-1 Production", <i>The Journal of Immunology</i> , <u>166</u> :4141-4147 (2001) |
| * DJ | BX | Csonka <i>et al.</i> , "Novel generation of human satellite DNA-based artificial chromosomes in mammalian cells", <i>J. of Cell Sci.</i> , <u>113</u> :3207-3216 (2000) |
| * DJ | BY | de Wet <i>et al.</i> , "Firefly Luciferase Gene: Structure and Expression in Mammalian Cells", <i>Molecular and Cellular Biol.</i> , <u>7</u> / <u>2</u> :725-737 (1987) |
| DJ | BZ | de Jong <i>et al.</i> , "Efficient <i>in-vitro</i> transfer of a 60-Mb mammalian artificial chromosome into murine and hamster cells using cationic lipids and dendrimers", <i>Chromosome Res.</i> , <u>9</u> / <u>6</u> :475-485 (2001) |
| * DJ | CA | de Jong <i>et al.</i> , "Mammalian Artificial Chromosome Pilot Production Facility: Large-Scale Isolation of Functional Satellite DNA-Based Artificial Chromosomes", <i>Cytometry</i> , <u>35</u> :129-133 (1999) |
| * DJ | CB | de Jong <i>et al.</i> , Abstract No. 550: "In Vitro Transfer of a 60 Mb Mammalian Artificial Chromosome into Primary Cell Lines Using Cationic Lipids an a Dendrimer", one page |
| * DJ | CC | de Jonge <i>et al.</i> , "Chromosome and DNA-Mediated Gene Transfer in Cultured Mammalian Cells", <i>International Review of Cytology</i> , <u>92</u> :133-158 (1984) |
| DJ | CD | Del Vecchio <i>et al.</i> , "Approaches to enhancing the retroviral transduction of human synoviocytes", <i>Arthritis Research</i> , <u>3</u> :259-263 (2001) |
| * DJ | CE | Durand <i>et al.</i> , "Sequencing Radiation and Adriamycin Exposures in Spheroids to Maximize Therapeutic Gain", <i>I. J. Radiation Oncol. Biol. Phys.</i> , <u>17</u> / <u>2</u> :345-350 (1989) |
| * DJ | CF | Durand <i>et al.</i> , "Response of Cell Subpopulations in Spheroids to Radiation-Drug Combinations", <i>NCI Monogr.</i> , <u>6</u> :95-100 (1988) |
| * DJ | CG | Durand <i>et al.</i> , "Schedule Dependence for Cisplatin and Etoposide Multifraction Treatments of Spheroids", <i>J. Natl. Cancer Inst.</i> , <u>82</u> / <u>23</u> :1841-1845 (1990) |
| DJ | CH | ECACC (European Collection of Cell Cultures) No: 85110503, Cell Line Name: NS0, mouse myeloma |
| DJ | CI | Edwards, J.C.W., "Fibroblast biology: Development and differentiation of synovial fibroblasts in arthritis", <i>Arthritis Research</i> , <u>2</u> / <u>5</u> :344-347 (2000) |
| DJ | CJ | Edwards, J.C.W. "Synovial intimal fibroblasts," <i>Ann. Rheum. Dis.</i> , <u>54</u> :395-397 (1995) |

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| | | |
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| * <i>DJ</i> | CK | Engebrecht <i>et al.</i> , "Identification of genes and gene products necessary for bacterial bioluminescence", <i>Proc. Natl. Acad. Sci. USA</i> , <u>81</u> :4154-4158 (1984) |
| <i>DJ</i> | CL | Evans <i>et al.</i> , "Clinical Trial to Assess the Safety, Feasibility, and Efficacy of Transferring a Potentially Anti-Arthritic Cytokine Gene to Human Joints with Rheumatoid Arthritis," <i>Human Gen. Ther.</i> , <u>7</u> :1261-1280 (1996) |
| <i>DJ</i> | CM | Firestein, G.S., "Invasive Fibroblast-Like Synoviocytes in Rheumatoid Arthritis," <i>Arthritis Rheum.</i> , <u>39</u> :1781-1790 (1996) |
| * <i>DJ</i> | CN | Fritz <i>et al.</i> , Abstract: "Ultrasound Enhancement of Gene Expression, Newly Discovered Cationic Lipids, and a New Class of Gene Delivery Agents", ImaRx Pharmaceutical Corp. Announces Important Discoveries in Emerging Field of Drug Delivery Using Acoustically Active Carriers, <i>ImaRx Pharmaceutical Corp.</i> , pages 1-2 (2001) |
| <i>DJ</i> | CO | Gerlag <i>et al.</i> , "The Effect of a T Cell-Specific NF- κ B Inhibitor on In vitro Cytokine Production and Collagen-Induced Arthritis," <i>J. Immunol.</i> , <u>165</u> :1652-1658 (2000) |
| <i>DJ</i> | CP | Gerlag <i>et al.</i> , "Supression of murine collagen-induced arthritis by targeted apoptosis of synovial neovasculature", <i>Arthritis Research</i> , <u>3</u> (6):357-361 (2001) |
| <i>DJ</i> | CQ | Goater <i>et al.</i> , "Empirical Advantages of Adeno Associated Viral Vectors for <i>in Vivo</i> Gene Therapy for Arthritis," <i>J. Rheumatol.</i> , <u>27</u> (4):983-989 (2000) |
| <i>DJ</i> | CR | Graham <i>et al.</i> , "A New Technique for the Assay of Infectivity of Human Adenovirus 5 DNA", <i>Virol.</i> , <u>52</u> :456-467 (1973) |
| * <i>DJ</i> | CS | Gratzner <i>et al.</i> , "An Immunofluorescence Method for Monitoring DNA Synthesis by Flow Cytometry", <i>Cytometry</i> , <u>1</u> (6):385-389 (1981) |
| * <i>DJ</i> | CT | Haas <i>et al.</i> , "Codon usage limitation in the expression of HIV-1 envelope glycoprotein", <i>Current Biol.</i> , <u>6</u> (3):315-324 (1996) |
| * <i>DJ</i> | CU | Hall <i>et al.</i> , "Expression and Regulation of <i>Escherichia coli lacZ</i> Gene Fusions in Mammalian Cells", <i>J. Molecular and Applied Genetics</i> , <u>2</u> :101-109 (1983) |
| <i>DJ</i> | CV | Han <i>et al.</i> , "AP-1 and NF- κ B Regulation in Rheumatoid Arthritis and Murine Collagen-Induced Arthritis," <i>Autoimmunity</i> , <u>28</u> :197-208 (1998) |
| * <i>DJ</i> | CW | Hoekstra <i>et al.</i> , "Lipid trafficking and sorting: how cholesterol is filling gaps", <i>Current Opinion in Cell Biol.</i> , <u>12</u> :496-502 (2000) |
| * <i>DJ</i> | CX | Hoekstra <i>et al.</i> , "Membrane flow, lipid sorting and cell polarity in HepG2 cells, role of a subapical compartment", <i>Biochem. Soc. Trans.</i> , <u>27</u> (4):422-428 (1999) |

EXAMINER *David Lambertson* | DATE CONSIDERED 1/20/04

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| * | CY | Hoffman <i>et al.</i> , "Lipochromosome Mediated Gene Transfer: Identification And Probable Specificity Of Localization Of Human chromosomal Material And Stability Of The Transferents", <i>In Vitro</i> , 17/8:735-740 (1981) |
| * | CZ | Hollo <i>et al.</i> , "Evidence for a megareplicon covering megabases of centromeric chromosome segments", <i>Chromo. Res.</i> , 4:240-247 (1996) |
| * | DA | Huang <i>et al.</i> , "Intervening sequences increase efficiency of RNA 3' processing and accumulation of cytoplasmic RNA", <i>Nucleic Acids Res.</i> , 18/4:937-947 (1990) |
| * | DB | Huber <i>et al.</i> , "A Comparison Of Shock Wave And Sinusoidal-Focused Ultrasound-Induced Localized Transfection Of HeLa Cells", <i>Ultrasound to Med. & Biol.</i> , 25/9:1451-1457 (1999) |
| * | DC | Ishihara <i>et al.</i> , "Effects of phospholipid adsorption on nonthrombogenicity of polymer with phospholipid polar group", <i>J. Biomed. Materials Res.</i> , 27:1309-1314 (1993) |
| * | DD | Jackson <i>et al.</i> , "The novel mechanism of initiation of picornavirus RNA translation"; <i>TIBS</i> , 15:477-483 (1990) |
| * | DE | Jang <i>et al.</i> , "A Segment of the 5' Nontranslated Region of Encephalomyocarditis Virus RNA Directs Internal Entry of Ribosomes during In Vitro Translation", <i>J. Viro.</i> , 62/8:2636-2643 (1988) |
| * | DF | Jellinek <i>et al.</i> , "Potent 2'-Amino-2'-deoxypyrimidine RNA Inhibitors of Basic Fibroblast Growth Factor", <i>Biochem.</i> , 34:11363-11372 (1995) |
| * | DG | Kereso <i>et al.</i> , "De novo chromosome formations by large-scale amplification of the centromeric region of mouse chromosomes", <i>Chromosome Res.</i> , 4:226-239 (1996) |
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| * | DI | Kong <i>et al.</i> , "Activated T cells regulate bone loss and joint destruction in adjuvant arthritis through osteoprotegerin ligand", <i>Nature</i> , 402:304-309 (1999) |
| * | DJ | Lamb <i>et al.</i> , "Introduction and expression on the 400 kilobase precursor amyloid protein gene in transgenic mice", <i>Nature Genetics</i> , 5:22-29 (1993) |
| * | DK | Li <i>et al.</i> , "NF- κ B Regulates VCAM-1 Expression on Fibroblast-Like Synoviocytes", <i>The Journal of Immunology</i> , 164:5990-5997 (2000) |
| * | DL | Lin <i>et al.</i> , "Modified RNA sequence pools for <i>in vitro</i> selection", <i>Nucleic Acids Res.</i> , 22/24:5229-5234 (1994) |

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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Title: METHODS FOR DELIVERING NUCLEIC ACID MOLECULES INTO CELLS AND ASSESSMENT THEREOF

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| FORM PTO-1449 (Modified) | | ATTY. DOCKET NO. 24601-416C | SERIAL NO. 10/086,745 |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | | APPLICANT De Jong <i>et al.</i> | |
| | | FILING DATE February 28, 2002 | GROUP 1636 |

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| DS | DM | Maier <i>et al.</i> , "Membrane domains and polarized trafficking of sphingolipids", <i>Cell & Develop. Biol.</i> , <u>12</u> :149-161 (2001) |
| DS | DN | Miller <i>et al.</i> , "Sonoporation Of Cultured Cells In The Rotating Tube Exposure System", <i>Ultrasound in Med. & Biol.</i> , <u>25</u> / <u>1</u> :143-149 (1999) |
| DS | DO | Mukherjee <i>et al.</i> , "Entrapment of metaphase chromosomes into phospholipid vesicles (lipochromosomes): Carrier potential in gene transfer", <i>Proc. Natl. Acad. Sci. USA</i> , <u>75</u> / <u>3</u> :1361-1365 (1978) |
| DS | DP | NCBI Nucleotide, X82564. <i>M. musculus</i> 45S pr...[gi:1261918], "Mapping of replication initiation sites in the mouse ribosomal gene cluster" |
| DS | DQ | Noguchi <i>et al.</i> , "Measurement of DNA Synthesis by Flow Cytometry", <i>Cytometry</i> , <u>1</u> / <u>6</u> :390-393 (1981) |
| DS | DR | Oberle <i>et al.</i> , "Lipoplex Formation under equilibrium Conditions Reveals a Three-Step Mechanism", <i>Biophys. J.</i> , <u>79</u> :1447-1454 (2000) |
| DS | DS | Olive <i>et al.</i> , "Increase in the fraction of necrotic, not apoptotic, cells in SiHa xenograft tumours shortly after irradiation", <i>Radiotherapy & Oncology</i> , <u>50</u> :113-119 (1999) |
| DS | DT | Olive <i>et al.</i> , "Resistance to DNA Denaturation in Irradiated Chinese Hamster V79 Fibroblasts Is Linked to Cell Shape", <i>Experimental Cell Res.</i> , <u>193</u> :339-345 (1991) |
| DS | DU | Pagratis <i>et al.</i> , "Potent 2'-amino-, and 2'-fluoro-2'-deoxyribonucleotide RNA inhibitors of keratinocyte growth factor", <i>Nature Biotechnol.</i> , <u>15</u> :68-73 (1997) |
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| DS | DW | Perez <i>et al.</i> , "Satellite DNA-based artificial chromosomes - chromosomal vectors", <i>TIBTECH</i> , <u>18</u> :402-403 (2000) |
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| DS | DY | Ropp <i>et al.</i> , "Aequorea Green Fluorescent Protein Analysis by Flow Cytometry", <i>Cytometry</i> , <u>21</u> :309-317 (1995) |
| DS | DZ | Sambrook <i>et al.</i> , Book: "Molecular Cloning", <i>A Laboratory Manual</i> , Second Ed., Cold Spring Harbor Laboratory Press (1989) |

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| * | EG | Takeuchi <i>et al.</i> , "Enhanced Visualization of Intravascular and Left Atrial Appendage Thrombus with the Use of a Thrombus-Targeting Ultrasonographic Contrast Agent (MRX-408A1): In Vivo Experimental Echocardiographic Studies", <i>J. Am. Soc. Echocardiogr.</i> , <u>12</u> /12:1015-1021 (1999) |
| * | EH | Telenius <i>et al.</i> , "Stability of a functional murine satellite DNA-based artificial chromosome across mammalian species", <i>Chromosome Res.</i> , <u>7</u> :3-7 (1999) |
| * | EI | Toh <i>et al.</i> , "Isolation and characterization of a rat liver alkaline phosphatase gene. A single gene with two promoters", <i>FEBS</i> , pages 231-237 (1989) |
| * | EJ | Unger <i>et al.</i> , Book: "Liposomes as myocardial perfusion ultrasound contrast agents", <i>Ultrasound contrast Agents</i> , Chapter 6, pages 57-74 (1997) |
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| * | EL | Unger <i>et al.</i> , "Ultrasound Enhances Gene Expression of Liposomal Transfection", <i>Invest. Radiol.</i> , <u>32</u> :723-727 (1997) |
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Title: METHODS FOR DELIVERING NUCLEIC ACID MOLECULES INTO CELLS AND ASSESSMENT THEREOF

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Sheet 1 of 3

FORM PTO-1449



ATTY. DOCKET NO.
24601-416C

SERIAL NO.
10/086,745

CONFIRM NO.
8781

LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT

APPLICANT

CUSTOMER NO.
24961

FILING DATE
February 28, 2002

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1636

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+ Derwent English language abstract and/or English translation provided.

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | *Ref. Code | DOCUMENT NUMBER | | | | | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
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FOREIGN PATENT DOCUMENTS

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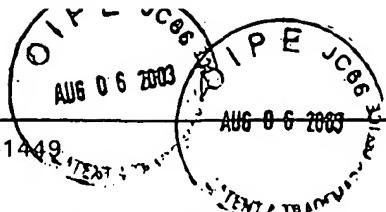
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| DJ | *E | Dausset <i>et al.</i> , "The CEPH YAC Library", <i>Behring Inst. Mitt.</i> , <u>91</u> :13-20 (1992) |
| DJ | *F | Foecking <i>et al.</i> , "Powerful and versatile enhancer-promoter unit for mammalian expression vectors", <i>Gene</i> , <u>45</u> :101-105 (1986) |
| DJ | *G | Giraldo <i>et al.</i> , "Size matters: use of YACs, BACs and PACs in transgenic animals", <i>Transgenic Res.</i> , <u>10</u> :83-103 (2001) |
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| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 24601-416C | SERIAL NO. 10/086,745 | CONFIRM NO. 8781 |
| | APPLICANT de Jong et al. | CUSTOMER NO. 24961 | |
| | FILING DATE February 28, 2002 | GROUP 1636 | |
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| <i>DJ</i> | *L | Larin <i>et al.</i> , "A method for linking yeast artificial chromosomes", <i>Nucl. Acid Res.</i> , 24(21):4192-4196 (1996) |
| <i>DJ</i> | *M | Libert <i>et al.</i> , "Construction of a Bovine Genomic Library of Large Yeast Artificial Chromosome Clones", <i>Genomics</i> , 18:270-276 (1993) |
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| <i>DJ</i> | *U | Osborne <i>et al.</i> , "Gene therapy for long-term expression of erythropoietin in rats", <i>Proc. Natl. Acad. Sci. USA</i> , 92:8055-8058 (1995) |
| <i>DJ</i> | *V | Palmieri <i>et al.</i> , "Construction of a pilot human YAC library in a recombination-defective yeast strain", <i>Gene</i> , 188:169-174 (1997) |

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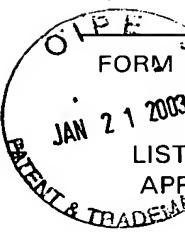
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Sheet 1 of 1



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LIST OF PATENTS AND PUBLICATIONS FOR
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STATEMENT

ATTY. DOCKET NO.
24601-416C

SERIAL NO.
10/666,745

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APPLICANT
De Jong et al.

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February 28, 2002

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| DJ | *A | 5 | 4 | 5 | 9 | 1 | 2 | 7 | 10/17/95 | Felgner et al. | 514 | 7 | 09/16/93 |

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| DJ | *B | 0 | 0 | 3 | 4 | 4 | 3 | 6 | 06/15/00 | PCT A2 | | | |
| DJ | *C | 9 | 9 | 1 | 3 | 7 | 1 | 9 | 03/25/99 | PCT | | | |

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24601-416CSERIAL NO.
10/086,745LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENTAPPLICANT
de Jong *et al.*FILING DATE
February 28, 2002GROUP
1636

* If an asterisk is placed beside the reference number, a copy is NOT provided because the reference was previously cited by or submitted to the PTO in a prior application that is identified in the statement and relied upon for an earlier filing date under 35 U.S.C. 120, 37 C.F.R. § 1.98(d).

+ Derwent English language abstract and/or English translation provided.

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | *Ref. Code | DOCUMENT NUMBER | | | | | | | DATE | NAME | CLASS | SUB CLASS | FILING DATE |
|------------------|------------|-----------------|---|---|---|---|---|---|----------|------------------------|-------|-----------|-------------|
| <i>DJ</i> | A | 5 | 8 | 3 | 7 | 2 | 8 | 3 | 11/17/98 | McDonald <i>et al.</i> | 424 | 450 | 03/12/97 |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | *Ref. Code | DOCUMENT NUMBER | | | | DATE | COUNTRY | CLASS | SUB CLASS | Translation Yes No |
|------------------|------------|-----------------|--|--|--|------|---------|-------|-----------|--------------------|
| NONE | | | | | | | | | | |

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

| | | |
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| <i>DJ</i> | B | Eck <i>et al.</i> , "Goodman & Gilman's The Pharmacological Basis of Therapeutics", 9th Edition, Chapter 5, McGraw-Hill, NY |
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| <i>DJ</i> | D | Marshall E., "Gene Therapy's Growing Pains", <i>Science</i> , 269(5227):10501055 (1995) |
| <i>DJ</i> | E | Orkin <i>et al.</i> , "Report and Recommendations of the Panel to Assess the NIH Investment in Research on Gene Therapy", on line at http://www.nih.gov/news/panelrep |
| <i>DJ</i> | F | Rissanen <i>et al.</i> , "Gene therapy for therapeutic angiogenesis in critically ischaemic lower limb - on the way to the clinic", <i>Eur. J. Clin. Invest.</i> , 31(8):651-666 (2001) |
| <i>DJ</i> | G | Ross <i>et al.</i> , "Gene Therapy in the United States: A Five-Year Status Report", <i>Hum. Gene Ther.</i> , 7(14):1781-1790 (1996) |
| <i>DJ</i> | H | Rubanyi, G.M., "The future of human gene therapy", <i>Mol. Aspects Med.</i> , 22(3):113-142 (2001) |
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| <i>DJ</i> | J | Strauss <i>et al.</i> , "Molecular complementation of a collagen mutation in mammalian cells using yeast artificial chromosomes", <i>EMBO J.</i> , 11(2):417-422 (1992) |
| <i>DJ</i> | K | Verma <i>et al.</i> , "Gene therapy--promises, problems and prospects", <i>Nature</i> , 389(6648):239-242 (1997) |

EXAMINER

David Lamberton

DATE CONSIDERED

1/26/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Title: METHOD FOR DELIVERING NUCLEIC ACID MOLECULES INTO CELLS AND ASSESSMENT THEREOF